

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

3624
#3
BT

5-27-03

In re the Application of:

Kendrick W. Kan,

Bruce L. Horn

Title:

**Internet-Based System for Identification,
Measurement and Ranking of Investment
Portfolio Management, and Operation
of a Fund Supermarket, Including "Best
Investor" Managed Funds**

Serial No. 09/836,694

Filed: April 17, 2001

) Attorney Docket No. 26592-004REG US

) Group Art Unit: 3624

) Examiner: Weisberger, Richard C.

) Telephone: (703) 308-4408

) Date of Mailing: May 15, 2003

RECEIVED
GROUP 3624
MAY 22 2003

Certification under 37 CFR 1.8

Mail Deposit Date: May 15, 2003

I hereby certify that the correspondence is being deposited on the above stated date with the United States Post Office as First Class Mail, in an envelope addressed to the Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Arlington, VA 22313-1450.

Name: Jana L. Dulin

Signature: Jana L. Dulin

SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.97

Mail Stop: Patent Application
Commissioner for Patents
P.O. Box 1450
Arlington, VA 22313-1450

Sir:

Applicant(s) wish to disclose the following information under rule 97:

REFERENCES

[X] The Applicant(s) wish to make of record the references listed on the attached Form PTO-1449. Copies of the listed references are attached, where required.

[] The Applicant(s) wish to make of record the references cited in the copending related US Application Serial Number _____ filed _____. Copies of the references are attached.

RELATED CASE(S)

[X] Applicant has filed the following related U.S. application:

This Application is based on the following three Provisional Applications, all filed by the same inventors under the same application title: 60/197,569 filed April 17, 2000; 60/231,058 filed September 8, 2000; and 60/261,885 filed January 16, 2001; and of the following Regular Applications filed by Bruce Horn and Blake Ward: System And Method For Generating Personalized Messages, USSN 09/610,164, filed July 5, 2000; System and Method For Determining and Tracking Performance Metrics For Individual Investors, USSN 09/610,160, filed July 5, 2000; and System And Method For Ranking Individual Investors And Filtering Commentary Based On Ranking, USSN 09/610,163, filed July 5, 2000.

CERTIFICATION

The undersigned certifies that:

☒ No Office Action has been received in this case.

☐ The reference(s) disclosed herein were previously disclosed in the original priority application Specification as filed _____, or/and the relevance to the present application described therein.

☐ The _____ publications were cited in a communication from a foreign patent office in Applicant's _____ counterpart foreign application.

FEE PAYMENT

☒ It is believed that no fee is due for the papers being filed herewith.

☐ Please charge Deposit Account No. 04-1699 in the amount of \$_____ for the fees due under §1.17(p) for the papers being filed herewith. A duplicate of this sheet is enclosed.

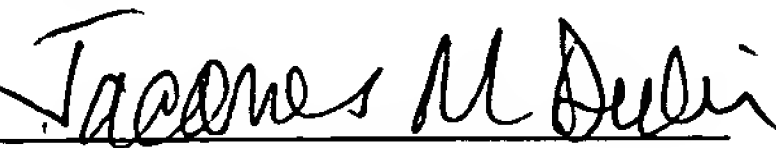
☒ If the fees as submitted above are not correct or a fee is required, please charge any additional fees, or credit any overpayment, to Deposit Account No. 04-1699. Please reference the Attorney Docket number 26592-004REG US in recording any fee charge made.

Encl: 1449, 1 pg.
Copy of Reference 5,873,071
Return Receipt Postcard

DATE: May 15, 2003

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Respectfully submitted,

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(Use as many sheets as necessary)

Sheet

of

Application Number	09/836,694
Filing Date	April 17, 2001
First Named Inventor	Kendrick W. Kam
Art Unit	3624
Examiner Name	Weisberger
Attorney Docket Number	26592-004 REG US

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[illegible][illegible]Date
Considered

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.**

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